

O I P E
DEC 16 2003

PTO/SB/01 (03-01)

Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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DECLARATION FOR UTILITY OR DESIGN PATENT APPLICATION (37 CFR 1.63)

Declaration
Submitted
with Initial
Filing

OR

Declaration
Submitted after Initial
Filing (surcharge
(37 CFR 1.16 (e))
required)

Attorney Docket Number 06878.114001

First Named Inventor Yi Tso, et al

COMPLETE IF KNOWN

Application Number 10 / 615,250

Filing Date July 8, 2003

Group Art Unit To Be Assigned

Examiner Name To Be Assigned

As a below named inventor, I hereby declare that:

My residence, mailing address, and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

METHOD AND SYSTEM FOR PROVIDING PRINCIPAL PROTECTION
EXPOSURE TO EQUITY MARKETS

(Title of the Invention)

the specification of which



is attached hereto

OR



was filed on (MM/DD/YYYY) July 8, 2003

as United States Application Number or PCT International

Application Number 10/615,250 and was amended on (MM/DD/YYYY) (if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.

I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or (f), or 365(b) of any foreign application(s) for patent, inventor's or plant breeder's rights certificate(s), or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent, inventor's or plant breeder's rights certificate(s), or any PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Copy Attached?	
				YES	NO
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



Additional foreign application numbers are listed on a supplemental priority data sheet PTO/SB/02B attached hereto:

[Page 1 of 2]

Burden Hour Statement: This form is estimated to take 21 minutes to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

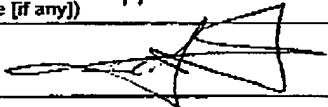
PTO/SB/01 (03-01)

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DECLARATION — Utility or Design Patent Application

Direct all correspondence to: <input checked="" type="checkbox"/>		Customer Number or Bar Code Label		32361		OR <input type="checkbox"/> Correspondence address below	
Name							
Address							
City				State		ZIP	
Country			Telephone			Fax	
I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.							
NAME OF SOLE OR FIRST INVENTOR :				<input type="checkbox"/> A petition has been filed for this unsigned inventor			
Given Name (first and middle [if any])				Family Name or Surname			
Yi				Tso			
Inventor's Signature						Date	
						July 16, 2003	
Residence: City		Jersey City		State		NJ	
Country		US		Citizenship		US	
Mailing Address 45 River Drive So., No. 1812							
City		Jersey City		State		NJ	
ZIP		07310		Country		US	
NAME OF SECOND INVENTOR:				<input type="checkbox"/> A petition has been filed for this unsigned inventor			
Given Name (first and middle [if any])				Family Name or Surname			
John				Vitha			
Inventor's Signature						Date	
Residence: City		North Woodmere		State		NY	
Country		US		Citizenship		US	
Mailing Address 1075 Duston Road							
City		North Woodmere		State		NY	
ZIP		11581		Country		US	
<input checked="" type="checkbox"/> Additional inventors are being named on the 1 supplemental Additional Inventor(s) sheet(s) PTO/SB/02A attached hereto.							

[Page 2 of 2]

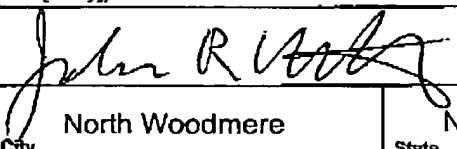
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NAME OF SOLE OR FIRST INVENTOR :			<input type="checkbox"/> A petition has been filed for this unsigned inventor			
Given Name (first and middle [if any])			Family Name or Surname			
Yi			Tso			
Inventor's Signature			Date			
Residence: City		State		Country		Citizenship
Jersey City		NJ		US		US
Mailing Address 45 River Drive So., No. 1812						
City		State		ZIP		Country
Jersey City		NJ		07310		US
NAME OF SECOND INVENTOR:			<input type="checkbox"/> A petition has been filed for this unsigned inventor			
Given Name (first and middle [if any])			Family Name or Surname			
John			Vitha			
Inventor's Signature			Date			
			8/12/03			
Residence: City		State		Country		Citizenship
North Woodmere		NY		US		US
Mailing Address 1075 Duston Road						
City		State		ZIP		Country
North Woodmere		NY		11581		US
<input checked="" type="checkbox"/> Additional inventors are being named on the 1 supplemental Additional Inventor(s) sheet(s) PTO/SB/02A attached hereto.						

[Page 2 of 2]

PTO/SB/02A (05-03)

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DECLARATION	ADDITIONAL INVENTOR(S)
	Supplemental Sheet
	Page <u>3</u> of <u>4</u>

Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any))		Family Name or Surname	
Timothy		Bridges	
Inventor's Signature <i>Timothy J. Bridges</i>		Date <i>8/12/03</i>	
Residence: City	Summit	State	NJ
		Country	US
Citizenship US			
Mailing Address 41 Waldron Avenue			
Mailing Address			
City	Summit	State	NJ
		Zip	07901
		Country	US
Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any))		Family Name or Surname	
Michael		Millette	
Inventor's Signature			
Residence: City		State	
		Country	
Citizenship			
Mailing Address			
Mailing Address			
City		State	
		Zip	
		Country	
Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any))		Family Name or Surname	
Radcliffe J.		Smith	
Inventor's Signature		Date	
Residence: City	North Caldwell	State	NJ
		Country	US
Citizenship US			
Mailing Address 1 East Greenbrook Road			
Mailing Address			
City	North Caldwell	State	NJ
		Zip	07006
		Country	US

This collection of information is required by 35 U.S.C. 115 and 37 CFR 1.63. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 21 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 (1-800-786-9199) and select option 2.

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Inventor's Signature		Date	
Residence: City	Summit	State	NJ
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Mailing Address			
City	Summit	State	NJ
		Zip	07901
		Country	US
Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any))		Family Name or Surname	
Michael		Millette	
Inventor's Signature <i>Michael Millette</i>		8/12/03	
Residence: City	Larchmont	State	NY
		Country	USA
		Citizenship	USA
Mailing Address 32 Maple Hill Drive			
Mailing Address			
City	Larchmont	State	NY
		Zip	10538
		Country	USA
Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any))		Family Name or Surname	
Radcliffe J.		Smith	
Inventor's Signature		Date	
Residence: City	North Caldwell	State	NJ
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Mailing Address			
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Inventor's Signature		Date	
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Mailing Address 41 Waldron Avenue			
Mailing Address			
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		Country	US
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Michael		Millette	
Inventor's Signature		Date	
Residence: City		State	
		Country	
Citizenship			
Mailing Address			
Mailing Address			
City		State	
		Zip	
		Country	
Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any))		Family Name or Surname	
Radcliffe J.		Smith	
Inventor's Signature <i>Radcliffe J. Smith</i>		Date <i>August 7, 2003</i>	
Residence: City	North Caldwell	State	NJ
		Country	US
Citizenship US			
Mailing Address 1 East Greenbrook Road			
Mailing Address			
City	North Caldwell	State	NJ
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Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any))		Family Name or Surname	
Richard		Andrade	
Inventor's Signature <i>Richard Andrade</i>		Date <i>7/23/03</i>	
Residence: City	Holmdel	State	NJ
		Country	US
Citizenship US			
Mailing Address 2 Rustic Lane			
Mailing Address			
City	Holmdel	State	NJ
		Zip	07733
		Country	US
Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any))		Family Name or Surname	
Inventor's Signature			
Residence: City		State	
		Country	
Citizenship			
Mailing Address			
Mailing Address			
City		State	
		Zip	
		Country	
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Given Name (first and middle (if any))		Family Name or Surname	
Inventor's Signature		Date	
Residence: City		State	
		Country	
Citizenship			
Mailing Address			
Mailing Address			
City		State	
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PTO/SB/81 (06-03)

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POWER OF ATTORNEY and CORRESPONDENCE ADDRESS INDICATION FORM

Application Number	10/615,250
Filing Date	07/08/2003
First Named Inventor	Yi Tso, et al
Title Method and System for Providing Principal Protection Exposure to Equity...	
Art Unit	3629
Examiner Name	To Be Assigned
Attorney Docket Number	06878.114001

I hereby appoint:



Practitioners at Customer Number:

32,361

OR



Practitioner(s) named below:

Name	Registration Number

as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the United States Patent and Trademark Office connected therewith.

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OR



The address associated with Customer Number:

OR

Firm or
Individual Name

Address

Address

City

State

Zip

Country

Telephone

Fax

I am the:



Applicant/Inventor.



Assignee of record of the entire interest. See 37 CFR 3.71.

Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96)

SIGNATURE of Applicant or Assignee of Record

Name	Richard Andrade		
Signature	<i>[Signature]</i>		
Date	November 2, 2003		Telephone 212-357-3311

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below.



Total of 1 forms are submitted.

This collection of information is required by 37 CFR 1.31 and 1.33. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 3 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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PTO/SB/81 (06-03)

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as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the United States Patent and Trademark Office connected therewith.

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☐ The above-mentioned Customer Number:

OR

☐ The address associated with Customer Number:

OR

<input type="checkbox"/> Firm or Individual Name				
Address				
Address				
City		State		Zip
Country				
Telephone		Fax		

I am the:

☒ Applicant/Inventor.

☐ Assignee of record of the entire interest. See 37 CFR 3.71.
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96)

SIGNATURE of Applicant or Assignee of Record

Name	Timothy Bridges		
Signature	<i>Timothy Bridges</i>		
Date	12/16/03	Telephone	412-902-7052

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required. See below.

☒ Total of 1 forms are submitted.

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The address associated with Customer Number:

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Firm or
Individual Name

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Address

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I am the:



Applicant/Inventor.

Assignee of record of the entire interest. See 37 CFR 3.71.
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96)

SIGNATURE of Applicant or Assignee of Record

Name	Radcliffe J. Smith		
Signature	<i>Radcliffe J. Smith</i>		
Date	12/5/03	Telephone	212-402-8792

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below.



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Name	Registration Number

as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the United States Patent and Trademark Office connected therewith.

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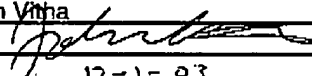
Country

Telephone

Fax

I am the:

☒ Applicant/Inventor.☐ Assignee of record of the entire interest. See 37 CFR 3.71.
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96)**SIGNATURE of Applicant or Assignee of Record**

Name	John Vitha		
Signature			
Date	12-1-03	Telephone	212-902-5757

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below*.

☒ Total of 1 forms are submitted.

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**POWER OF ATTORNEY
and
CORRESPONDENCE ADDRESS
INDICATION FORM**

Application Number	10/615,250
Filing Date	07/08/2003
First Named Inventor	Yi Tso, et al
Title Method and System for Providing Principal Protection Exposure to Equity	
Art Unit	3629
Examiner Name	To Be Assigned
Attorney Docket Number	06878.114001

I hereby appoint:

☒ Practitioners at Customer Number:

32,361

OR

☐ Practitioner(s) named below:

Name	Registration Number

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Address			
City	State	Zip	
Country			
Telephone	Fax		

I am the:

☒ Applicant/Inventor.☐ Assignee of record of the entire interest. See 37 CFR 3.71.
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96)**SIGNATURE of Applicant or Assignee of Record**

Name	Michael Millette
Signature	<i>Michael Millette</i>
Date	December 3, 2003
Telephone	712.902.3702

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below.

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PTO/SB/81 (08-03)

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and
CORRESPONDENCE ADDRESS
INDICATION FORM**

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Filing Date	07/08/2003
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Title Method and System for Providing Principal Protection Exposure to Equity	
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Attorney Docket Number	06878.114001

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32,361

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State

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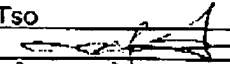
Country

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Fax

I am the:

☒ Applicant/Inventor.☐ Assignee of record of the entire interest. See 37 CFR 3.71.
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96)**SIGNATURE of Applicant or Assignee of Record**

Name	Yi Tso		
Signature			
Date	December 2, 2003	Telephone	412-357-4612

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